

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Lim et al.

GROUP: 2872

SERIAL NO: 09/961,572

EXAMINER: UNKNOWN

FILED: 09/21/2001

FOR: METHODS OF ALTERING THE RESONANCE OF WAVEGUIDE MICRO-  
RESONATORS

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

In compliance with 37 C.F.R. §§1.56, 1.97, and 1.98, Applicant submits copies of the documents listed on the attached Form PTO-1449.

The Commissioner is authorized to charge Deposit Order Account No. 19-0079 for any further fee that is required.

Respectfully submitted,



Matthew E. Connors

Registration No.

Samuels, Gauthier & Stevens, LLP

225 Franklin Street, Suite 3300

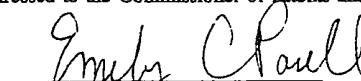
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I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.



Emily C. Porell  
12/20/01  
Date

FORM PTO-1449 SAMUELS, GAUTHIER & STEVENS LLP  
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

**MIT8935A**  
ATTORNEY DOCKET NO.

Lim et al.

APPLICANT

09/21/2001

FILING DATE

**09/961,572**  
SERIAL NO.

**2872**

GROUP

UNKNOWN  
EXAMINER

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,829,532	05/09/89	Kane			04/25/88
	AB	6,101,300	08/08/00	Fan et al.			05/15/98
	AC	6,052,495	04/18/00	Little et al.			10/01/97
	AD	6,069,729	05/30/00	Gill et al.			01/20/99
	AE	5,926,496	07/20/99	Ho et al.			05/20/97
	AF						
	AG						
	AH						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AI						
	AJ						
	AK						
	AL						
	AM						

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL		
	AN	Foresi et al. "Photonic-bandgap microcavities in optical waveguides" <u>Nature</u> ; November 13, 1997; Vol. 390.
	AO	Rafizadeh et al. "Waveguide-coupled AlGaAs/GaAs microcavity ring and disk resonators with high finesse and 21.6-nm free spectral range" <u>Optical Society of America</u> ; August 15, 1997; Vol. 22, No.16.

EXAMINER

DATE CONSIDERED

**EXAMINER:**

**Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.**

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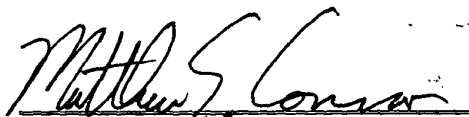
INFORMATION DISCLOSURE STATEMENT

In compliance with 37 C.F.R. §§1.56, 1.97, and 1.98, Applicant submits copies of the documents listed on the attached Form PTO-1449.

The listed documents were recently cited in a corresponding PCT application, and a copy of the International Search Report is being submitted herewith for purposes of convenience.

The Commissioner is authorized to charge Deposit Order Account No. 19-0079 for any further fee that is required.

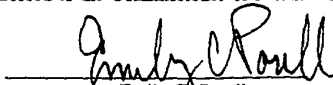
Respectfully submitted,



Matthew E. Connors  
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Emily C. Porell  
10/08/2001  
Date

FORM PTO-1449 SAMUELS, GAUTHIER & VENS LLP (Rev. 5/92) 225 Franklin Street, Boston, MA 02110 Telephone: (617) 426-9180  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>	<b>MIT8935A</b> ATTORNEY DOCKET NO.  <u>Lim et al.</u> APPLICANT  <u>09/21/2001</u> FILING DATE	<b>09/961,572</b> SERIAL NO.  <b>2872</b> GROUP  <b>UNKNOWN</b> EXAMINER
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### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4,695,121	09/22/1987	Mahapatra et al.			01/28/1985
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						

### FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AI	WO 00/50938	08/31/2000	PCT			YES
	AJ	0 445 763 A2	09/11/1991	EP			YES
	AK						
	AL						
	AM						

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL		
	AN	"Vertically Coupled Glass Microring Resonator Channel Dropping Filters," Little et al. <i>IEEE Photonics Technology Letters</i> . February 2, 1999. Vol. 11, No. 2.
	AO	"Theory of Loss and Gain Trimming of Resonator-Type Filters," Little et al. <i>IEEE Photonics Technology Letters</i> . June 6, 2000. Vol. 12, No. 6.

EXAMINER

DATE CONSIDERED

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